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ABSTRACT

The purpose of these Utah behavioral intervention policies and procedures is to provide state-of-the-art guidelines for educators dealing with the behavior problems of students with disabilities. The standards serve to assure that students have access to effective education procedures and due process, and that school districts minimize their risk of being involved in due process hearings and litigation. The guidebook describes the functions, composition, and responsibilities of the Utah State Office of Education Human Rights Committee, the Professional Peer Review Committee, local human rights committees, and the Individualized Education Program Team. It provides sample forms for summarizing interventions, acquiring parental consent, summarizing committee actions, and implementing emergency procedures. Behavioral interventions are then discussed, including: (1) preliminary strategies such as environmental engineering, pacing, home notes, precision commands, and parent conferences; (2) positive intervention procedures such as positive reinforcement, differential reinforcement, modeling, shaping, self-management, and token economy; (3) mildly intrusive contingent procedures, such as response cost, time out, and over-correction; (4) moderately intrusive contingent procedures such as forced physical guidance and visual screen; and (5) highly intrusive contingent procedures, such as manual restraint, mechanical restraint, and aversive stimuli. (JDD)

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POLICIES and PROCEDURES
for the use of
BEHAVIOR INTERVENTION STRATEGIES

Introduction:

Human rights policies and procedures related to the use of behavioral interventions in schools have become critical for the protection of students' rights as individuals and to an effective education as well as for the protection of teachers, other school personnel, school districts and the State Office of Education. Litigation, due process hearings, ethical complaints and complaints of human rights violations are on the rise. Protecting student's rights, one's professional reputation, financial resources and one's job, if a complaint arises, can be very expensive in time, dollars and peace of mind.

Purpose:

The purpose of behavioral intervention policies and procedures is to provide state-of-the-art guidelines to IEP Teams, Human Rights Committees and others dealing with behavior problems and interventions. The courts have long taken the position of creating their own, often arbitrary, standards where none exist. However, where commonly agreed upon standards do exist, the courts tend to measure compliance against the existing standards. One standard that is rapidly becoming universal is the implementation of state level policies and procedures guiding the use of behavioral interventions. Such standards are needed in Utah to assure that students have access to effective education procedures and enhanced due process and that IEP Teams have the information they need to make informed decisions which minimizes their risk for being involved in time consuming and energy depleting due process hearings and litigation. These same policies and procedures assure that a quality education in accordance with federal and state laws and regulations is available to each student and help protect the school districts and the State Office of Education from unnecessary expenditures of time and dollars. Every effort must be made to involve and keep parents informed concerning all proposed and actual behavioral interventions used with their children.

Mission Statement from the Utah Agenda for Meeting the Needs of Students with Disabilities:

The mission of the service system for Utah students with disabilities is to continually assess and expand each individual's capabilities and quality of life, by coordinating all information, resources, and services using proactive leadership to empower the individual to be a caring, competent, and contributing citizen in an integrated, changing society.

Selection of Strategies:

All behavior intervention strategies are selected by a student's Individualized Education Program (IEP) Team to increase or decrease specific behavior identified by that team. Positive behavior intervention strategies must be tried and results documented before more intrusive strategies are implemented. However, in cases where severe behavior is exhibited, other options are available to IEP Teams as outlined in this document. The judicious use of intrustive behavior intervention strategies may be considered necessary or even imperative by IEP Teams in specific individual cases where severe behavior is exhibited.

Positive as well as intrusive strategies are listed, defined and organized in this manual. All Level III and IV intervention strategies must be individually approved by the Local Human Rights Committee. The Utah State Office of Education Human Rights Committee will review and modify, as needed, the continuum of behavior interventions and review local school district compliance with these policies and procedures on an annual basis.

Informed Consent:

Parents are co-equal partners in the IEP process. As such, parent participation in the IEP decision making process leading up to the selection of specific behavior intervention procedures is critical. Every effort must be made to assure that the parents are informed and understand the proposed behavioral intervention procedures and their potential side effects. It is the responsibility of the parent to understand the strategies and their potential side effects before giving consent. At least three documented attempts will be made to obtain written parental consent before a Level III or IV intervention is included in the student's IEP. In the event the parent does not participate in the IEP meeting, Local Human Rights Committee approval and written prior notice to the parents must be provided before Level III or IV intervention is implemented.

In the event that there is a disagreement between a parent of a student with disabilities and the other members of the IEP Team regarding the proposed use of behavioral interventions and an impasse results, either party has the right to submit these

concerns, in writing, to the local Director of Special Education and request a review. The request will be reviewed and a written response issued to the parties within 20 days by the local district Human Rights Committee. If either party disagrees with the decision of the local district Human Rights Committee, the decision may be appealed to the Utah State Office of Education Human Rights Committee by making a written request to the Utah State Director of Special Education within 15 days. During the pendency of all reviews, the interventions in question may not be implemented.

The purpose of these policies and procedures for the use of behavior intervention strategies is to attempt to resolve differences in the most time efficient manner. The State Director of Special Education shall ensure that review is viewed as voluntary and freely agreed to by both parties and is in no way used to deny or delay an aggrieved parties the right to a hearing under the Individuals with Disabilities Education Act (IDEA or P.L. 101-476). Both parties maintain all rights accorded to them by local, state and federal laws and regulations.

TERMINOLOGY

When talking about complicated issues such as Human Rights and behavioral interventions, it is easy to assume that everyone is talking the same language. In order to prevent misunderstandings, the following definitions are supplied to help the reader understand the terms used in this document:

Behavioral Intervention: The systematic application of any validated procedure (antecedent and/or consequence) which has the potential for changing behavior.

Reinforcement: Any stimulus (positive or negative) which increases or maintains behavior over time.

Intrusive: Any procedure that a student prefers to avoid.

Continuum: A range of behavioral interventions, within levels, that are not hierarchial in nature.

Hierarchy: The arrangement of behavioral interventions in ascending order, across levels, from least to most intrusive.

Human Rights Review: The procedure used to guarantee that a student's rights to life, liberty, and privacy are not violated.

Intrusive Behavioral Intervention: Decelerative behavior interventions (some Level II and all Level III and IV) that require written parental consent prior to implementation (see section IV).

SECTION I

The Utah State Office of Education Human Rights Committee

FUNCTIONS OF THE STATE COMMITTEE

The functions of the state committee include:

a. annual approval and modification, where necessary, of the continuum of behavioral interventions,

b. recommending statewide inservice and Comprehensive System of Personnel Development (CSPD) activities related to the selection and implementation of appropriate, least restrictive interventions,

c. serving as requested, as a second line of appeal for parents and LEAs when conflict arises concerning behavioral interventions.

d. assuring that a random sample of behavior interventions implemented in each school district are reviewed annually.

COMPOSITION OF THE COMMITTEE

The State Director of Special Education is responsible for establishing the state level committee including the designation of the committee chair. It is important to remember that school, agency and community members must be co-equal partners in ensuring effective and appropriate service to all students with disabilities.

Members must include, but are not limited to:

a. Representatives from the Utah State Office of Education.

b. Representatives from urban school districts.

c. Representatives from rural school districts.

d. Representatives from higher education.

e. A consumer representative or advocate nominated by the Utah State Board of Education Advisory Committee for the Handicapped (USBEACH).

f. A parent representative nominated by the Utah Parent Center.

g. Others as deemed appropriate for specific reviews (e.g., a private attorney).

All members from a-d above must be professionals having knowledge of and experience in:

a. designing, using and evaluating behavior management and contingency programs,

b. current behavior management practices,

c. the development and use of a wide variety of effective and efficient behavioral intervention programs, and

d. scientific methods for evaluating program effectiveness.

COMMITTEE PROCEDURES

1. Members will be appointed to staggered, three-year terms with one third of the members being replaced each year.

2. The State Director will solicit nominations for existing vacancies from school districts, parent groups and other agencies.

3. Voting procedures will utilize a one-person/one-vote format.

4. All voting decisions will consist of at least a two-thirds majority. Two-thirds of the members must be present for a quorum.

5. The committee will meet as needed but at a minimum quarterly. If more appeals are presented for review than time allows, appeals will be prioritized and a second meeting, ensuring a timely response, will be scheduled.

6. The school districts will be responsible for submitting the data needed by the committee in a timely fashion.

7. If an individual on the State Human Rights Committee serves as a member of a Professional Peer Review Committee for a particular case, he/she may participate in the Committee's deliberations but may not vote when recommendations are made.

8. Members who may have a conflict of interest in a particular case must excuse themselves for the duration of the case.

RESPONSIBILITIES OF THE CHAIRPERSON

1. Scheduling, documenting and managing meetings of the committee.

2. Distribution of the documents submitted for review by committee members.

3. Maintaining minutes of meetings.

4. Providing written recommendations made by the committee to the IEP Team (including the parent) , the local Director of Special Education and the State Director of Special Education.

APPEAL PROCESS TO THE STATE COMMITTEE

1. A purpose of the State Committee is to review available data and make a recommendation to the parties involved

2. Within five working days of receiving a request for an appeal, the chairperson of the State Committee shall initiate steps to conduct the appeal conference. The purpose of the appeal conference is to resolve the differences and, if possible, avoid a due process hearing.

3. During the pendency of an appeal to the State Committee, the behavioral interventions in question may not be implemented.

4. The appeal conference shall simply be a fact finding meeting held in an informal, nonadversarial atmosphere and shall be completed within fifteen working days after receiving the request. An extension can be granted by the State Director of Special Education based on extenuating circumstances, but the extension cannot exceed an additional five working days. Every effort shall be made by the committee to complete the review process in as few days as possible.

5. A copy of the written recommendation shall be mailed to each party within five calendar days following the conference. A copy shall also be filed with the State Director of Special Education.

FOLLOW-UP MONITORING

In reviewing individual cases, the State Committee will establish monitoring procedures which address:

a. Inservice and training of staff.

b. Fidelity of program implementation.

c. Schedules for follow up review.

d. This section (a-c) is applicable when the recommendations of the State Human Rights Committee are accepted by the party that requested the review.

STATE PROFESSIONAL PEER REVIEW COMMITTEE

FUNCTIONS OF THE STATE PROFESSIONAL PEER REVIEW COMMITTEE

The functions of the State Professional Peer Review Committee include:

a. Making recommendations to Local or State Human Rights Committees upon request concerning the use of behavioral interventions with students with disabilities. Local and State Committees may request a review by the Professional Peer Review Committee at any time for technical assistance.

b. Mandatory review of requests by Local Human Rights Committees to implement any Level IV procedures with or without first implementing Levels I-III for specific individual cases where severe behavior is exhibited (e.g. aggression, self abuse, property destruction, assaultive behavior or severe non compliance). The decision of the Peer Review Committee is binding upon the Local Human Rights Committee for Level IV Procedures.

c. Mandatory review of requests by Local Human Rights Committees for the use of extraordinary procedures (see Section V, page 55).

COMPOSITION OF THE COMMITTEE

The State Director of Special Education is responsible for establishing the State Professional Peer Review Committee including the designation of the committee chair.

Members must include:

a. A recognized expert from the Utah State Office of Education.

b. Recognized experts from local school districts.

c. Recognized experts from higher education, community agencies or private enterprise.

All members from a-c above must include professionals having knowledge of and experience in:

a. designing, using and evaluating behavior management and contingency programs,

b. current behavior management practices,

c. the development and use of a wide variety of effective and efficient intervention programs, and

d. scientific methods for evaluating program effectiveness.

COMMITTEE PROCEDURES

1. Ten members will be identified to serve as a pool of qualified experts for the Professional Peer Review Committee.

2. The State Director will be responsible for the selection of experts to serve on the committee and the selection of the Chair.

3. Meetings, to be initiated by the State Director, will be held on an as needed basis.

4. A minimum of three members must be present to conduct a review (none of which may have a conflict of interest in the case being reviewed).

5. Members who may have a conflict of interest in a particular case must excuse themselves from hearing the case.

6. Recommendations made by the State Professional Peer Review Committee will be submitted to the appropriate parties within five days following the review meeting.

7. It is the responsibility of the district to submit relevant data to the committee in a timely fashion along with the request for review, including:

   a. Level of referral behavior (e.g., frequency or duration).

   b. Previous intervention attempts with results, including dates.

   c. Rationale for review (why this case warrants review).

RESPONSIBILITIES OF THE COMMITTEE MEMBERS

Chairperson

1. Documenting and managing meetings of the committee.

2. Distributiion of documents submitted for review by committee members.

3. Provision of written recommendations made by the committee to the IEP Team (including the parent) , the local Director of Special Education and the State Director of Special Education.

Committee Members

1. Attend meetings as directed by the Chair.

2. Review available data and participate with other committee members in making a consensus recommendation from the committee.

LOCAL HUMAN RIGHTS COMMITTEE

FUNCTIONS OF THE LOCAL COMMITTEE

The functions of the Local District Human Rights Committee are as follows:

1. Monitor, recommend and assure inservice activities for appropriate staff training.

2. Audit and supervise Level II, III and IV interventions for compliance with human rights procedures, selection of appropriate interventions and appropriate use of interventions.

3. Approve use of all Level III and IV interventions prior to implementation.

4. Serve as the first line of appeal for parents and professionals when conflict arises concerning recommended behavioral interventions.

5. Recommend changes or modification of these policies and procedures to the State Human Rights Committee.

COMPOSITION OF THE LOCAL COMMITTEE

The composition of the Local Committee will be as follows:

1. Local Director of Special Education or designated representative. This person will function as the chairperson and will have permanent tenure.

2. A minimum of two other professionals who are not providing direct services to the student concerned. These professionals will be appointed by the Local Director of Special Education.

3. A member of the local school district staff who has expertise in the use of behavior intervention procedures. This may require a cooperative agreement with other school districts or the State Office of Education in some areas.

4. A parent of a student with disabilities appointed by the Local Director of Special Education.

   It is important to remember that parents, school and community members must be co-equal partners in ensuring effective and appropriate service to all students with disabilities.

PROCEDURES OF THE LOCAL COMMITTEE

1. The committee must audit a random sample of Level II, III and IV interventions for compliance at least once per school year. The committee will determine the manner and schedule of the annual audit.

2. The committee must approve use of Level III and IV prior to their use.

3. The length of membership on the committee will be determined by that committee.

4. Members who have a conflict of interest in a particular case must excuse themselves from hearing the case.

5. Committee procedures and the schedule of meetings will be determined by the committee and by need.

APPEALS PROCESS TO THE LOCAL COMMITTEE

1. A purpose of the Local Committee is to review available data and make recommendations to the parties involved.

2. Within five working days of receiving a request for an appeal, the chairperson of the Local Committee shall initiate steps to conduct the appeal conference. The purpose of the appeal conference is to resolve the differences and, if possible, avoid a hearing.

3. During the pendency of an appeal to the Local Committee, the behavioral interventions in question may not be implemented.

4. The appeal conference shall be an informal process conducted in a nonadversarial atmosphere and shall be completed within fifteen working days of receiving the request. An extension can be granted by the Local Director of Special Education based on extenuating circumstances, but the extension cannot exceed an additional five working days. Every effort shall be made by the committee to complete the review process in as few days as possible.

5. The recommendation(s) made by the Local Committee shall not conflict with state or federal law.

6. A copy of the written recommendation shall be mailed to each party within five calendar days following the conference. A copy shall also be filed with the Local Director of Special Education.

STAFF TRAINING

It is the responsibility of each Local Human Rights Committee in conjunction with the local Director of Special Education to make available and monitor appropriate inservice activities for the training of district staff to carry out the behavioral intervention. It is the responsibility of district staff to participate in available training which is relevant to their jobs and apply it as student needs dictate. Where district staff believe they do not have appropriate training to implement specific behavioral interventions appropriately, it also is their responsibility to request needed training from the local Director of Special Education.

FOLLOW-UP MONITORING

In reviewing individual cases, the Local Committee will establish and/or monitor procedures which address:

a. Inservice and training of staff.

b. Fidelity of program implementation.

c. Schedules for follow up review.

d. This section (a-c) is applicable when the recommendations of the Local Human Rights Committee are accepted by the party that requested the review.

SECTION II

INDIVIDUALIZED EDUCATION PROGRAM TEAM INVOLVEMENT

SELECTING INTERVENTIONS

Prior to selecting a Level II, III or IV intervention, the IEP Team must:

1. Review Preliminary Strategies (as specified in Section V: Behavioral Interventions) and determine if appropriate effective teaching methods identified as preliminary strategies in the *Behavioral Interventions* have been implemented.

2. Classroom personnel must carefully assess and analyze the target behaviors and factors associated with their occurrence before initiating any behavior interventions.

   Accordingly, the following functional analysis variables must be identified and documented:

   a. The target behaviors must be specifically defined in observable measurable terms.

   b. For every target behavior to be decreased the appropriate replacement behavior must be defined in observable measurable terms and an appropriate positive intervention plan be written and implemented.

   c. The antecedent situations and environments in which the behavior occurs must be identified and documented.

   d. The consequences and other factors associated with the behavior must be examined for possible functions or intent of the behavior.

   e. Particular attention must be focused on the communicative ability of the student to indicate needs and wants.

3. Classroom personnel must document that procedures in Level I and II were correctly implemented and were not successful prior to recommending to the Local Human Rights Committee Level III or IV interventions.

   The interventions identified within each level are not sequential, nor do they need to be implemented in a sequential manner.

Interventions selected must be appropriate to the target behavior. Common sense and research literature must dictate choice. It is recommended that a minimum of two interventions be implemented and be found to be ineffective within each level before moving onto the next level of the continuum.

4. Some Level I and II interventions provide for staff discretion in obtaining signed parental consent. The frequency of the behavior and/or duration of the intervention (e.g. the occasional use of contingent observation during a week versus the daily use with a student), will determine if parent/guardian written consent is recommended.

   Best practice suggests that teachers always inform parents of behavioral programs implemented and possible consequences, allowing for parental review and negotiation.

IEP AND INFORMED CONSENT

When using intrusive behavior procedures, the IEP process is augmented with the following to assure true informed consent.

1. All previous unsuccessful less intrusive interventions are reviewed with the IEP team and documented.

2. Possible new alternative procedures are reviewed with the IEP team.

3. The potential effectiveness of the proposed intervention including possible side effects are reviewed by the IEP team.

4. The detailed written intervention is developed by the entire team based on negotiation.

5. Level II interventions which require parental permission and all Level III or IV behavioral interventions will have a permission form signed by the parent/guardian.

6. All proposed Level III and IV behavioral interventions must be submitted to the Local Human Rights Committee prior to implementation.

BEHAVIOR INTERVENTION PERMISSION FORM

Minimum components of the Behavior Intervention Consent Form:

1. Name of student.

2. Date.

3. An operationally defined target behavior.

4. For behaviors to be decreased the replacement behavior must be operationally defined.

5. Baseline data (summarize and attach data sheets).

6. Documentation of Level I and II procedures used.

7. Corresponding IEP goal and terminal objective.

8. Recommended behavioral intervention procedure.

   a. Positive reinforcement schedule and appropriate behavior to increase.

   b. Intrusive contingent procedure level on the Continuum and a description of the procedure.

9. Data collection method.

10. Scheduled review date.

11. Attached guidelines that have been approved by the State Human Rights Quality Committee.

12. A statement before a signature block indicating all signators have read the information and consent to the specified procedures.

13. Signature blocks and dates for the following:

   a. Parents or guardian.

   b. Teacher.

   c. LEA Representative.

   d. Other Team Members

14. Completed "Behavior Intervention Permission" form for Level III and IV behavior interventions must be submitted to the Local Human Rights Committee for approval. Except in emergency situations (see Section IV) implementation of the proposed intervention cannot be initiated until approved by the Local Human Rights Committee.

IMPLEMENTATION AND MONITORING

These steps need to be followed in the implementation of intrusive behavior interventions requiring parental consent:

1. Prior to implementation:

   a. Target behavior operationally defined.

   b. For behaviors to be decreased the replacement behavior must be operationally defined.

   c. Collection of baseline data prior to implementation. A stable baseline is usually collected over a minimum of three sessions or three days unless the behavior exhibited is severe (e.g. aggression, self abuse, property destruction, assaultive behavior).

   d. When an intrusive behavioral intervention is selected these safeguards must be implemented:

      (1) High rate and density of positive reinforcement must be insured.

      (2) An appropriate alternative behavior must be trained or reinforced.

   e. After appropriate training and inservice of all staff dealing with the student the procedure is implemented.

2. Monitoring during implementation:

   a. An appropriate data collection system must be selected and used.

   b. If no significant change in behavior is documented after a maximum of two weeks, the program must be evaluated in the following way by the assigned team member/s:

      (1) Check the consistency and correct implementation by all staff.

      (2) Evaluate the effectiveness of consequences, both positive and negative.

      (3) Target behavior must be re-evaluated for functional appropriateness and importance of selection.

   c. If the above listed steps are taken and the procedure is still determined ineffective, an alternative intervention must be selected.

   d. When interventions are repeatedly found to be ineffective, a referral to the Professional Peer Review Committee must be made.

DEVIATION FROM A STUDENT'S APPROVED PLAN

Each student's individualized behavior intervention plan as agreed to and documented by the IEP Team is considered a binding agreement for those interventions requiring informed consent. If staff implementing the plan find that emergency procedures are called for, they must follow the specific procedures outlined in this document for emergency situations.

Staff deviation from an approved plan which includes use of misapplication of approved interventions, unapproved interventions requiring informed consent as well as failure to follow outlined emergency procedures in emergency situations will subject the responsible staff members to disciplinary action as dictated by local district guidelines.

SECTION III

BEHAVIORAL INTERVENTION SUMMARY

Student Name _____ **Date** _____

School _____ **Grade** _____ **DOB** _____

LIST IMPLEMENTED INTERVENTIONS WITH OUTCOME DATA (ATTACH ADDITIONAL SHEETS AND GRAPHS AS NEEDED).

1. LEVEL I: _____

_____

_____

_____

Results and Adjustments: _____

_____

_____

_____

Comments: _____

_____

_____

2. LEVEL II: _____

_____

_____

_____

Results and Adjustments: _____

_____

_____

_____

Comments: _____

_____

_____

3. LEVEL III: _____

_____

_____

_____

Results and Adjustments: _____

_____

_____

_____

Comments: _____

_____

_____

4. LEVEL IV: _____

_____

_____

_____

Results and Adjustments: _____

_____

_____

_____

Comments: _____

_____

_____

BEHAVIORAL INTERVENTIONS

CONSENT FORM

Student Name _____ **Date** _____

School _____ **Grade** ____ **DOB** _____

1. Target Behavior (operational definition): _____

_____

_____

_____

_____

Baseline Date: _____

Summarize Data and Attach Data Sheets: _____

_____

_____

2. Replacement Behavior (operational definition): _____

_____

_____

_____

_____

Baseline Date: _____

Summarize Data and Attach Data Sheets: _____

_____

_____

3. Documentation of Level I and II Interventions Used Unsuccessfully (*attach data sheets*):

_____

_____

_____

4. Corresponding IEP Goal and/or Terminal Objective: _____

_____

_____

_____

5. Recommended Behavioral Intervention Procedures:

A. Appropriate Behavior to Increase and Positive Reinforcement Methods/Schedule:

_____

_____

_____

B. Recommended Behavior Reduction Procedures: _____

_____

The level this procedure falls under: _____

C. Specifically describe the Intrusive Procedure (*attach a written program if necessary*):

_____

_____

_____

_____

6. Data Collection (summarize method and schedule): _____

_____

_____

7. Scheduled Intervention Review Date: _____

8. Cautions or Side Effects: _____

_____

_____

_____

_____

I have read the above information and hereby give my informed consent for the specified procedures to be used with the target student. (All must sign and date.)

_____ _____

Parent/Guardian Signature Date

_____ _____

Teacher's Signature Date

_____ _____

Administrator's Signature Date

SUMMARY OF COMMITTEE ACTION

____ Local Human Rights Committee

____ State Human Rights Committee

____ State Professional Peer Review

Student Name _____ **Date** _____

School _____ **Grade** ____ **DOB** _____

School District _____

Problem Behavior _____

_____

Intrusive Intervention for which Consent is Sought _____

_____

Recommendations _____

_____

_____

_____

_____

_____

_____

We have reviewed the information provided regarding _____

_____

_____

and do ___ do not ___ give our consent for the requested intrusive intervention procedure/s to be implemented at this time.

_____ _____

Chair Date

_____ _____

Member Member

_____ _____

Member Member

SECTION IV

PROCESS for IMPLEMENTATION of EMERGENCY PROCEDURES

1. If an emergency situation occurs that requires the immediate use of intrusive procedures (see definition) to protect the individual or others from harm, staff must notify the student's parents within 24 hours. A copy of the Emergency Contact Form must be submitted to the local Director of Special Education for each emergency occurrence within 24 hours.

2. Emergency Definition:

   a. Danger to others: physical violence toward others with sufficient force to cause bodily harm.

   b. Danger to self: self abuse of sufficient force to cause bodily harm.

   c. Destruction of property: severe destruction or physical abuse of property.

   It must be noted that ***threatened abuse*** toward others, self, or property may be considered an "emergency" situation if there is evidence of past threats leading to any of the above mentioned behaviors.

   Further, if an "emergency" behavior occurs more than once per week, two times in a month, or a total of four times in a year, a program must be designed to correct the problem behavior, and the behavior must no longer be considered a crisis and must be addressed in the IEP and through Local Human Rights Committee procedures.

3. Trained Staff:

   Emergency procedures must only be used by staff trained and competent in their use.

4. Emergency Intervention Strategies:

   In order to deal with "emergency" behavior in an effective and humane manner, a range of alternative techniques from the least intrusive to the most intrusive may be necessary:

   For example:

   One possible sequence of alternatives of least to most intrusive would include alteration of environment to stimulus change to seclusionary time out to manual restraint. Other sequences are possible at the discretion of the staff using procedures listed in Levels II, III and IV.

EMERGENCY CONTACT FORM

This form must be completed for each use of an emergency intervention.

Student Name _____ **Date** _____

School _____ **Grade** ____ **DOB** _____

Staff in Attendance: _____

What did the student do? (describe the behavior) _____

_____

_____

_____

_____

_____

_____

What did the staff do? (consequences; for how long; etc.) _____

_____

_____

_____

_____

_____

_____

Were there any injuries? _____ Yes _____ No

If yes, describe: _____

_____

_____

_____

_____

_____

_____

What could be done to prevent this from happening again? _____

_____

_____

_____

_____

_____

_____

Number of times behavior occurred: _____

Length of time during which behavior occurred: _____

Parent Notified: ____ In Person ____ Phone ____ Written

Person Notifying Parent _____ Date _____

_____ _____

Signature of Person Completing Form Date

Note: A copy of this completed form must be sent to the local Director of Special Education within 24 hours of each use of an emergency intervention.

Emergency interventions can occur no more than once per week, two times in a month, or a total of four times per year. If the frequency exceeds these guidelines, a behavior program must be implemented to remediate the problem.

SECTION V

BEHAVIORAL INTERVENTIONS

PRELIMINARY STRATEGIES: Problem Avoidance through Proactive Planning Interventions for Pre-Referral and On-Going Programs.

- Appropriate & Motivating Curriculum
- High Rates of Positive Responses from Teachers
- Structured Daily Schedule
- Staff Training
- Environmental Engineering
- Instructional Pacing
- Home Notes
- Precision Commands
- Data Collection
- Parent Conference
- Special Equipment
- Supervision

DEFINITIONS OF PRELIMINARY STRATEGIES

Appropriate and Motivating Curriculum: Curriculum that is appropriate for the functional level of each child is a must. Curriculum too difficult or easy is likely to increase inappropriate behavior. To have the appropriate functional level, teachers must know the level at which their students are functioning. Teacher testing and evaluation skills are important.

High Rates of Positive Responses from Teachers: Teachers must create a positive environment by frequently reinforcing the student for appropriate and correct responding. Teachers who provide more positive responses to students than negative ones have students who want to remain in the classroom rather than be removed to another environment.

Structured Daily Schedule: To remain "on task," that is to be engaged in academic or other activities which demand the student's time and attention, will eliminate many behavior problems. Unengaged time is likely to accelerate a student's inappropriate behaviors. A daily schedules must be prepared to maximize on task behavior and the schedule must be followed. Sufficient numbers of staff must be present to make high rates of on task behavior feasible.

Staff Training: It is essential that all staff be thoroughly trained in the use of the interventions listed in the continuum of behavioral interventions. Formal and informal inservice classes must be conducted in order for all staff members to become competent and remain competent in the use of these interventions.

Environmental Engineering: The arrangement or manipulation of the physical environment and stimuli in order to facilitate appropriate responses and avoid disruption that can adversly effect students. Examples are to 1) divide the classroom into one area for quiet reading, another for seat work, and another for small group work; 2) rules on how loud or quiet students must be; 3) arranging the room so students cannot easily look out windows or doorways into halls; and 4) having the teacher between the students and open areas if there runners in the class.

Instructional Pacing: This refers to the rate at which the teacher presents instructional material to the learner. Proper instructional pacing is neither too fast, so as to frustrate the student, nor so slow as to bore the student or lose his/her attention.

Home Notes: The purpose of home notes is to provide clear, precise communication between school and home. This communication must occur on a regular basis. The majority of the feedback to parents must be positive.

Precision Commands: This refers to the precise verbal statements made by teachers to enhance compliance of students.

Example:

If a student will not sit down, the instructor says, "Bill, please sit down!" (five second delay.) "Bill, you need to sit down now!" (five second delay.) Consequate behavior appropriately for compliance or non-compliance.

Data Collection: Collecting information on how well a child is doing in academic or behavior programs. Collecting information can help the teacher determine if the program is effective. By evaluating the data, the teacher knows when to make changes in both academic and behavior programs.

Parent Conference: Parents must be notified of the student's difficulties and attempts made to involve them in problem resolution. Parents may be involved via on-going phone calls and/or school visits.

Special Equipment: Adaptive Equipment which the student requires to be successful is available and is being used. This may involve such items as large print material, a typewriter, a computer, or augmentative communication devices.

Supervision: School staff must provide adequate and appropriate supervision as needed for students to succeed and/or prevent problems.

FUNCTIONAL ANALYSIS: Problem Avoidance through Functional Analysis.

- Data Collection
- Identify Behavior (Operationalized)
- Identify Antecedents
- Identify Consequences
- Communication Ability and Intent

DEFINITIONS OF FUNCTIONAL ANALYSIS

Data Collection: A tracking system must be adopted in order to adequately analyze the function of the current behavior. All behaviors have some reason or function for occurring. The most common function of all behaviors is to get or obtain something or to escape or avoid something/someone. What complicates this process is that the same behavior can be used for both obtaining and escaping specific stimuli, people or events; thus behaviors can serve both functions. Therefore, it is important to determine the purpose of behavior in order to effectively program for eliminating inappropriate behavior. If the function of the behavior can be identified, the student can be taught a new response to obtain the same result.

Identify Behavior: The specific behavior to be increased or decreased specifically defined in observable and measurable terms.

Example:

Self Injurious Behavior---Every time John hits any portion of his head against a hard substance, such as a wall, table, chair, hand, etc.

Non Self Injurious Behavior (replacement behavior)---Every time John goes for five seconds without hitting his head against a hard substance such as a wall, table, chair, etc.

Identify Antecedents: An antecedent is any stimulus that occurs prior to a behavior and sets the occasion for a behavior to occur (people, places, time, events, etc.).

Identify Consequences: Any stimulus which follows a behavior which may result in an increase or decrease in that behavior in the future.

Communication Ability and Intent:

a. Ability---Staff evaluate if the child has a communicative method to indicate needs and wants.
b. Intent---Staff evaluate the function of the behavior to determine if the intent of the behavior is to communicate needs and wants.

Level I: Positive Intervention Procedures

Level I: Positive Intervention Procedures	Intervention Consent Form Signed	State & Local Human Rights Audits
Positive Reinforcement		
a. Continuous Schedule of Reinforcement	No	No
b. Intermittant Schedule of Reinforcement	No	No
(1) Ratio Schedules of Reinforcement	No	No
(2) Interval Schedules of Reinforcement	No	No
Differential Reinforcement	No	No
a. Differential Reinforcement of Other Behaviors (DRO)	No	No
b. Differential Reinforcement of High Rates (DRH)	No	No
c. Differential Reinforcement of Low Rates (DRL)	No	No
d. Differential Reinforcement of Alternative Behavior (DRA)	No	No
e. Differential Reinforcement of Incompatible Behavior (DRI)	No	No
f. Differential Reinforcement of Functional Communicative Behavior (DRC)	No	No
Tracking	No	No
Modeling		
a. Observational Learning	No	No
b. Participant Modeling	No	No
Shaping	No	No
Chaining	No	No
Prompting	No	No
Fading	No	No
Graduated Guidance	No	No
Behavior Momentum	No	No
Peer Involvement	No	No
Direct Instruction	No	No
Self-Management	No	No
Structured Recess	No	No
Group Reinforcement Response Contingency (*caution*)	Staff Discretion	No
Token Economy (*caution*)	Staff Discretion	No
Behavioral Contracting	Staff Discretion	No
Contingent Observation	Staff Discretion	No

Definitions of Positive Intervention Procedures

Positive Reinforcement: A procedure in which a stimulus event or object is presented contingently upon a response, usually immediately following the response, resulting in the likelihood that the response will be strengthened or maintained. If food is used, more nutritious food must be tried first.

a. **Continuous Schedule of Reinforcement:** A schedule of reinforcement in which each occurrence of a response is reinforced. Continuous reinforcement is often used to begin a teaching sequence or to shape new behaviors. When continuous reinforcement is stopped, the behavior stops almost immediately.

Examples:

- Every time Joan took a step her friends cheered.
- Every time Jack said thank you his teacher gave him a smile.

b. **Intermittent Schedule of Reinforcement:** A schedule of reinforcement in which some, but not all, of the occurrences of a response are reinforced. Intermittent reinforcement increases the rate of responding and makes the established behavior more stable and habitual.

Example:

When John works on assigned tasks, sometimes the teacher smiles at him and sometimes she does not.

1. **Ratio Schedules of Reinforcement:** A schedule in which reinforcement is made contingent upon a specific number of responses before being reinforced.

Examples:

Paul had to put five bolts in the package before he was reinforced.

John may be reinforced, on the average, after four correct answers. Thus, he may be reinforced twice in a row, then after eight correct, so long as the average remains four.

2. **Interval Schedules of Reinforcement:** A schedule in which some specified time must pass and then the next available targeted response will be reinforced.

Example:

Bob worked on task for five minutes. When he completed one more bit of work, the supervisor praised him.

Jane is reinforced on the average of once every three minutes for sitting in her chair. Thus, she may be reinforced after four minutes, then two minutes, etc. with the average being once every three minutes.

Possible Side Effects

Positive Reinforcement

Satiation-Students stop responding or avoids reinforcing stimulus because they have had too much of the stimulus.

Differential Reinforcement: (1) The reinforcement of one class (or form or topography) of behavior and not another, or.... (2) The reinforcement of a response under one (stimulus) condition but not under another.

a. **Differential Reinforcement of Other Behaviors (DRO):** A procedure in which a reinforcer follows any appropriate behavior the student emits. No reinforcer follows the occurrence of the target problem behavior. DRO always contains a predetermined length of time or interval. After each interval, the student is reinforced for *any* appropriate behavior but never after the target behavior.

Examples:

John was a student who scratched himself most of the time. The staff decided to smile, compliment and give him points every two minutes when he was not scratching. They ignored him and did not reinforce at the two minute interval when he was scratching.

b. **Differential Reinforcement of High Rates:** Reinforcement is given for performing some behavior at increasingly higher rates.

Examples:

Diane received a star for finishing five problems in five minutes. The next time she had to finish six problems in five minutes to achieve a star.

Irene got a smile from staff members when she talked at a "normal" rate. She received no smile when she spoke too slowly.

c. **Reinforcement of Low Rates:** Reinforcement is given for performing something at increasingly lower rates. This procedure is usually used for behaviors that occur at such a high rate or are so ingrained into the student's behavior patterns, that a large immediate drop in occurrences is unrealistic.

Example:

Sally picked the cuticles of her fingers until they bled. The staff set up a program specifying that if Sally had 4 or fewer bloody fingers on each hand, at the end of the first week, she could choose a privilege. At the end of the second week, she had to have 3 or fewer bloody fingers on each hand to choose a privilege. This program continued to reduce the number of bloody fingers Sally could have, until the criteria was zero bloody fingers.

d. **Reinforcement of Alternative Behavior:** A procedure designed to reduce a given behavior by ignoring that behavior and by reinforcing specific behaviors that are alternatives to the behavior to be reduced.

Example:

Out of seat behavior in a kindergartner was targeted to be decreased. When the child was out of his seat, he was ignored. But when he was in his seat studying his colors, he was reinforced.

e. **Reinforcement of Incompatible Behavior (DRI):** A procedure designed to reduce a given behavior by ignoring that behavior and reinforcing specific behaviors that are physically incompatible with the target behavior.

A child who is always on the floor gets reinforced for sitting on a chair.

f. **Reinforcement of Functional Communicative Behaviors (DRC):** A procedure designed to reduce a specific behavior by ignoring that behavior while reinforcing a functional communication skill.

Example:

An autistic student is tantruming and is ignored by the teacher. The teacher determines that the intended communication is to obtain a glass of water. The child is then taught a specific skill to request a glass of water (e.g., hand sign, communication board use, utterance, word).

*****Possible Side Effects*****

Reinforcement of an Alternative Behavior (DRO, DRC, DRI, DRA)

Extinction Burst-Because an inappropriate behavior is ignored or not reinforced there may be a dramatic increase or burst of the behavior before it decreases.

Behavior Becomes Worse-Behavior becoming worse may be a problem because this procedure takes substantial time to become effective.

Tracking: Daily or weekly behavior and or academic tracking that results in feedback and /or contingent reinforcement to a student during the school day. Tracking can also include public posting. Data are collected regularly, evaluated, and program adjustments are made as needed.

*****Possible Side Effects*****

Tracking/Public Posting

Avoidance-Student may avoid the display or posting of data reflecting their behavior if the data are embarrassing or violates confidentiality.

Modeling/Differential Reinforcement of Another Person's Appropriate Behavior: A procedure in which learning results through observation of a model's behavior.

Example:

Sharon was squirming in her seat. The teacher went to Ron, the student next to Sharon and gave him a plus on his point card for "sitting quietly". Sharon saw Ron get the plus and stopped squirming, so that she too could earn a plus. After 20 seconds of quiet sitting, the teacher put a plus on Sharon's point card.

a. **Observational Learning:** After observing a modeled response, the observer exhibits that response.

Example:

After the students watched their teacher demonstrate answering a telephone, some of the students could correctly answer the phone.

b. **Participant Model:** A person learns by both watching someone act and actively practicing the behavior she/he watches.

Example:

Lois has been shy and not standing up for her rights. A teacher modeled five different appropriate responses for her such as, asking for a toy she wanted and telling someone not to push her. After demonstrating each situation, Lois was asked to role play the response and encouraged for being properly assertive. As homework, she was asked to try out each of the responses at home and given feedback and further practice over several weeks.

*****Possible Side Effects*****

Modeling:

Inappropriate Modeling- Student may imitate inappropriate behavior as well as appropriate behavior.

Shaping: A procedure by which new behaviors are developed through the use of systematic reinforcement of successive approximations toward the behavioral objective.

Example:

In order to get a student to remain at his seat, he is first regularly reinforced for entering the classroom, then for being near his desk, then for touching his chair, then finally for being correctly seated in his chair.

Chaining: A procedure in which responses are reinforced in sequence to form more complex behaviors. As each new behavioral link is added, only the most recent link needs to be reinforced. In skills where the completion of a task might in and of itself be reinforcing,

backwards chaining may also be used. In this system, the last component task is taught first, then next to the last, and so on, moving gradually towards the first task.

Example:

Seb did not know how to tie his shoes. First he was reinforced for holding his shoelaces properly in his hands. Next he was reinforced for holding the shoelaces properly and then for crossing them over each other, etc. Finally, he received praise when he completely tied one shoe.

In conjunction with chaining, and other behavior modification techniques, a technique known as task analysis must first be used. Skills are broken down into concrete, specific, component tasks, which in some cases may be very minute. If a child doesn't make progress on a task, it may be that it needs to be task analyzed further (broken down into smaller steps).

Prompting: The procedure in which a cue (visual, auditory, physical) is presented in order to facilitate a given response.

Examples:

- While Sarah is learning to print she is often given papers on which there are dots or lines in the forms of the letters.
- When Martin couldn't answer the question of what three plus two equals, the teacher made an "ff" sound to prompt the answer of five.

*****Possible Side Effects*****

Prompting:

Prompt dependency- over use of prompting may result in overdependency on prompts.

Fading: The gradual elimination of a stimulus that controls a specific response.

Examples:

Cues, prompts, reminders, or suggestions are gradually removed.

Fewer dashes or dots are placed on the page on which the student learns to print, so that the student completes more and more of the task independently.

The child engages in self-help training, receives less physical guidance and eventually learned to eat independently using correct utensils.

Graduated Guidance: The combined use of manual guidance and fading. A systematic gradual reduction of manual guidance. Use enough pressure to guide the movement, but ***never force it.*** (If force is required, this becomes a Level III procedures: see "Forceful Physical Guidance, Level III. #3.)

Example:

Rita, who could not hold a spoon to eat, was assisted by the teacher who covered her hand to help hold and guide the spoon. Little by little the teacher moved the physical help to just resting on Rita's hand. The next step was to gradually move to a slight tap on the back of the hand. The physical assistance is faded out until Rita could perform the behavior independently.

CAUTION: Caution must be taken to aviod physical injury to the student or the staff.

*****Possible Side Effects*****

Graduated Guidance

Resistance or struggle-Student may resist being touched or struggle when minimally guided through a procedure, which may result in physical injury.

Behavior Momentum: A procedure used to increase compliance. The procedure includes identifying a minimum of three requests with which the student has a high probability of compliance. Three high probability requests are made immediately before making a low probability request.

Example:

Frank loved to put together puzzles. If he was working on a puzzle, he would frequently be noncompliant when the teacher asked him to put it away. The teacher decided to approach the request this way. Before asking Frank to put away the puzzle, the teacher would first ask Frank, "Point to the blue piece. Good. Now show me the tree. Good Frank! Put 5 pieces in your hand. Oh, Thank you Frank! Now put the puzzle away." The first three requests were things with which Frank had a history of complying. The teacher made a point of reinforcing Frank after each compliance, even though these were easy tasks for him. This procedure greatly increased Frank's probability of complying to the last request.

Peer Involvement: The use of same and/or cross-age peers for academic tutoring, structured social engagement, and/or as peer "buddies".

Direct Instruction: Active teaching or explicit instruction which includes explaining to students exactly what they are expected to learn, demonstrating the steps needed to accomplish a task, and providing opportunities for practice and feedback.

Self-Management: Strategies which involve a student's management and control of their own behavior through the systematic application of behavioral principles (e.g., self monitoring, self reinforcement, self evaluation).

Structured Recess: A systematic recess intervention program for student who require a high level of structure during the recess period. Students are taught specific game rules and appropriate play behavior and are reinforced for appropriate behavior during these activities.

Group Reinforcement Response Contingency: The entire group gets a reward when one particular member meets the arranged contingency (Note: This is not a punishment technique, rather a method of applying reinforcers to groups). Criteria can be evaluated on (1) an individuals specific performance (2) random average of two or three students (3) high student's/low student's average.

Example:

If the average of the class was 75 percent or better on the math test, they would all take a trip to the Zoo.

CAUTION: This is a technical procedure which requires consultation or inservice before implementation.

*****Possible Side Effects*****

Group Reinforcement or Contingency

Sabotage-Student may sabotage or ruin the reinforcement for the group to gain negative attention.

Peer Pressure- Extreme peer pressure may be placed on the individual who does not meet the group contingency criteria.

Token Economy: A system of individual reinforcement in which tokens are administered (chips, check marks, paper money, etc.) to obtain later access to backup reinforcers. To be successful, a person must be reinforced for behavior that is already occurring as well as successive approximations of the behavior we wish to establish. Token systems may not deprive residents of constitutionally guaranteed rights. Individual program plans rather than group token systems must be used for management of problem behaviors.

Example:

Paul earned a point for being in his seat when the bell rings, for each assignment completed on time, and for appropriate behavior at recess. At the end of the day, the points are exchanged for backup rewards which Paul has preselected.

CAUTION: This a delay system and inappropriate lengths of delay may become punishing.

Teachers must be aware of the possibility of token theft and token counterfeiting by students.

*****Possible Side Effects*****

Token Economy

Stops Responding-Token systems involve delay of giving a delivering reward which can result in decreased responding if delay is too long.

Behavioral Contracting: Behavior contracts are written documents, mutually agreed upon, between teachers and students (plus other individuals if needed) which specify expected behaviors, positive and negative consequences, time frame of the contract and review dates. The contact is then signed by all parties who are participating in the contact (student, teacher, parents, etc.)

"Possible Side Effects"

Behavioral Contracting

Stops Responding-Contracting involved a delay or interval before a primary reward is given which can result in decreased responding if the interval is too long.

Contingent Observation: A student who is doing something inappropriate is told to step away from the activity for a few minutes, sit in a chair nearby, and watch the appropriate behavior of other students. The teacher deliberately attends to the other students who are behaving appropriately. The student observes the type of behavior the teacher wants and sees the teacher reinforce those students who are acting appropriately. The student rejoins the activity after a few minutes of observation, and when the student performs the desired behavior, she/he is reinforced.

Example:

While children were seated at a table playing with blocks, Robbie grabbed some of the blocks. The teacher stated "Robbie, you should be playing with your own blocks as the others are doing, not grabbing Sue's. Sit in this chair and watch how the others are using their own blocks." The teacher then praised others for playing appropriately. After a few minutes, the teacher said "Robbie, you've been watching nicely. Play with your own blocks now without bothering others." Robbie returned to the group and was reinforced for appropriate behavior.

	Intervention Consent Form Signed	Local Human Rights Approval

Level II: Mildly Intrusive Contingent Procedures

Startle / Verbal Reprimand	Staff Discretion	No
Response Cost (*caution*)	Staff Discretion	No
Required Relaxation	Staff Discretion	No
Nonseclusionary Time Out	Staff Discretion	No
Over Correction (*non-manual*)	Yes/Staff Discretion	No
a. Restitutional	Staff Discretion	No
b. Positive Practice (*caution*)	Staff Discretion	No
c. Neutral Practice/Contingent Exercise (*caution*)	Yes	No
d. Full Cleanliness Training (*caution*)	Yes	No
Food Delay (*caution*)	Yes	No
Before and After School Detention	Staff Discretion	No
Lunch Detention	Staff Discretion	No
Work Detail	Staff Discretion	No
Exclusionary Time Out	Staff Discretion	No
Extinction (*caution*)	No	No
In School Suspension	Staff Discretion	No

DEFINITIONS OF LEVEL II PROCEDURES

Startle/Verbal Reprimand: The use of a sudden and loud verbal statement or physical action in order to startle the student to gain his/her attention. Startle techniques frequently consist of a loud "NO" or a slap on the desk with the open hand to create a loud sound. Verbally chastising a student also falls in this category.

CAUTION: This procedure may be viewed as abusive by an uninformed observer.

Response Cost: A procedure in which a specific amount of available reinforcers is contingently withdrawn following a response. Response cost is often used with token economy programs. Response cost must be less than the total amount or number of reinforcers available (e.g., never go in the hole). Response cost procedures are often referred to as fines.

Example:

Tim was fined 20¢ of his allowance for failing to brush his teeth in the mornings.

CAUTION: All students have civil rights to water, food, clothes & right to bathroom. These things can not be withheld.

*****Possible Side Effects*****

Response Cost

Aggression-Taking away a highly prized reinforcer or privilege can lead to aggression directed at the teacher, other students, or property.

Withdraw- Student may cry, whine, or pout when reinforcement is withdrawn.

Required Relaxation: The agitated individual is required to spend a fixed period of time in relaxation on each occurrence of agitation. No forceful physical guidance is permitted.

Example:

Lois was told to go to the nurse's sick room, lay on the bed, and relax for 15 minutes. The relaxation period was always a period of no more than one hour. No talking, eating, listening to radios, or playing with objects was permitted during that time.

CAUTION: If forceful physical guidance is needed to get the student to comply, this becomes a Level III procedure .

*****Possible Side Effects*****

Required Relaxation

Resistance or Struggle-Student may resist being touched or struggle when minimally guided through this procedure.

Nonseclusionary Time Out: A behavior reduction technique which denies a student the opportunity to receive reinforcement contingent upon a response for a fixed period of time. In using this procedure, the student is not removed from the instructional setting; rather, the teacher denies the student access to reinforcers through a manipulation of the environment which signals a period of the time during which such access is denied.

Example:

Asking students to put their heads on their desks, turning out a room light, turning off a record player or audio tape, or using a time out ribbon.

CAUTION: Forceful physical guidance is not permitted (e.g., forcing a student's head on to the desk).

Over-Correction: A procedure which provides an active educational activity after the occurrence of inappropriate behavior.

CAUTION: For all over-correction procedures, forceful physical guidance is not permitted. If forceful physical guidance is required, over-correction becomes a Level III procedure which requires permission of the Local Human Rights Committee prior to implementation.

*****Possible Side Effects*****

Over-Correction

Resistance or Struggle-Student may resist being touched or struggle when minimally guided through this procedure.

a. **Restitutional Over-Correction:** The student is taught to assume responsibility for the disruption to the environment caused by his/her inappropriate behavior by restoring the environment to better than its original condition.

Example:

If Fred spits on the desk, he is required to clean the desk he spat on plus three others.

b. **Positive Practice Over-Correction:** A student intensely practices the appropriate behavior. The practice can be a time period or a specific number of the appropriate behaviors. Positive Practice may involve motor tasks or academic tasks.

Example:

Sylvia ran down the hall. The teacher then required her to walk appropriatele down the hall five times.

CAUTION: ***Completion of excessive amounts of academics should be closely evaluated as an appropriate punichment. The end result of this kind of an intervention may develop into an aversion to academic subject areas.***

c. **Neutral Practice Over-Correction/Contingent Exercise:** A student repeats an action neither restitutional nor related to the desired behavior. This often takes the form of contingent exercise.

Example:

Every time Tony neglected to come in from recess at the appropriate time, he was required to do 15 sit ups.

CAUTION: ***Neutral practice must never be implemented to the point that it causes physical harm or pain.***

*****Possible Side Effects*****

Contingent Exercise

Resistance or Struggle-Student may resist being touched or struggle when minimally guided through this procedure.

d. **Full Cleanliness Training**: A form of over-correction used in toilet training, including low functioning students.

Example:

Jill has just soiled her underpants. She is required to wash out the underclothing in clean water in 3-5 minutes. Then is required to bathe, shower or otherwise clean herself.

Food Delay: A procedure in which a meal is contingently delayed for a period of up to two hours. This does not cover delay of food within the normal mealtime but delay beyond the normal mealtime.

Example:

Irene was extremely slow at cleaning her room and was told that she could not have dinner until all the clothes were picked up and put in the laundry hamper, her bed was made and the floor was swept.

CAUTION: ***Students cannot be denied complete withdrawal of a meal (e.g., lunch).***

Possible Side Effects

Food Delay

Aggression or Possible Extinction Burst-If food is delayed too long, the student may increase the misbehavior.

Before and After School and Lunch Detention:

a. Before Or After School detention is a school intervention which is administered outside of the school day, where by a student reports to a supervised study hall for an assigned period of time (usually thirty minutes to two hours). The detention must take place in a non-reinforcing environment.

b. Lunch Detention is similar to before and after school detention, except that the time to be made up is during the student's lunch period. Lunch detention is usually conducted in a isolated, quiet location while still providing the student with the opportunity to eat his/her hot or cold lunch.

Work Detail: A disciplinary consequence which requires the student to complete a specific task of labor or engage in the task for a specified period of time, under the appropriate supervision of a school staff member. Examples of assigned tasks are cleaning up the litter in the school yard, sweeping halls, scrubbing lockers, and washing walls.

CAUTION: This technique must not be frequently used but reserved as a natural consequence for property destruction, lettering, or making an intentional mess.

Exclusionary Time Out: A procedure in which a student is removed from a reinforcing setting into a setting with a lower reinforcing value, *but not a time-out room*, in order to decrease or eliminate an undesirable behavior. The purpose of this procedure is to move the student to a different setting (which can be in or out of the classroom) as a means of denying access to reinforcement.

CAUTION: Time out is not to be used unless the classroom has been demonstrated to be positively reinforcing.

Examples:

- A student in a reading class had his chair turned around for five minutes as a result of his constant giggling.
- When Jack lost his temper at a fellow student, the teacher asked Jack to go outside for five minutes to calm down.
- When Jan kept teasing, she was asked to sit down in another room for ten minutes.

Extinction: The non-reinforcement of a previously reinforced response. This procedure involves ignoring the behavior or withholding reinforcement for a previously reinforced response. In all cases, when the inappropriate behavior is being ignored, another behavior

which is appropriate must be reinforced. Extinction is a technical procedure that requires staff training.

Examples:

Billy had whined and pulled at staff members. They would then talk to him. The staff members decided stopped talking to Billy when he whined and pulled and he whined even more for two days. Billy gradually stopped whining after several days of not receiving attention for that behavior while receiving attention for not whining or pulling at the staff.

Susan often cried for no apparent reason. Her mother stopped attending to her when Susan cried. At first Susan cried harder and longer. Mom still did not attend to Susan and Susan found that the only thing she was accomplishing was tiring herself. Since the original reason for crying was to get Mom's attention and the behavior was not being reinforced, the crying gradually tapered off. However, Susan still periodically reverted back to crying to see if Mom had "changed the rules". When Mom remained consistent, the behavior finally disappeared completely.

CAUTION: Extinction is not appropriate when the behavior is dangerous to the student or others.

"Possible Side Effects"

Extinction

Extinction Burst-Because an inappropriate behavior is ignored or not reinforced there may be a dramatic increase or burst of the behavior.

Level III: Moderately Intrusive Contingent Procedures

	Intervention Consent Form Signed	State & Local Human Rights Audits
Level III: Moderately Intrusive Contingent Procedures		
Satiation (*caution*)	Yes	Yes
Forceful Physical Guidance (*caution*)	Yes	Yes
Negative Practice Over-Correction	Yes	Yes
Visual Screen (*caution*)	Yes	Yes
Seclusionary Time Out	Yes	Yes
Inhibiting Devices	Yes	Yes

***GENERAL CAUTION:** Use of any Level III or IV intervention may result in withdrawal, aggression, crying, whining or pouting. If the staff member implementing the procedure does not provide a high density of reinforcement throughout the day.*

Any Level III or IV procedure may be construed as abusive by an uninformed observer.

DEFINITIONS OF LEVEL III INTERVENTIONS

Satiation: The procedure in which a large amount (e.g., frequency or number) of a reinforcer is given so that it loses its effectiveness and the behavior ceases to occur.

Example:

Lisa was compelled to possess the PE towels. She constantly stole towels and hoarded them. The teacher started giving her so many towels that her locker became filled and she started giving the towels back, instead of taking them.

CAUTION: If satiation is used with food, it must not be used to the extent that student becomes physically ill. Satiation is many times confused with negative practice over-correction. Negative practice over-correction involves requiring the student to repeat the offending response over and over again, for an extended period of time. That procedure is not a true satiation.

*****Possible Side Effects*****

Satiation

Physical Illness-Student may become sick or nauseated with some edible substances.

Forceful Physical Guidance: A procedure in which the appropriate body part or parts are "put through" or physically guided through the proper motion, in spite of mild or moderate resistance on the part of the client. This might be used as part of an over-correction procedure. The guidance used is always the least needed, to accomplish the task, and is faded out as quickly as possible.

Example:

Jeff refused to pick up an object which he had thrown on the floor. He was manually guided to pick up the object with hand over hand prompts. As soon as the student began to cooperate, the physical guidance was dropped and he was given verbal directions.

CAUTION: This pocedure must be used with minimal force so that injury does not occur.

*****Possible Side Effects*****

Forced Physical Guidance

Aggression or Resistance-Student may vigorously resist being touched when forced through this procedure.

Negative Practice Over-Correction: A procedure in which the student is required to practice the offending response over and over again, for an extended period of time.

Example:

Margie constantly tears up her work papers. She is required to tear up 50 papers into tiny pieces.

Visual Screen: A contingent response in which a loose band (ie sweat band, head band) is placed over a student's eyes for a short period of time, to eliminate visual stimuli. The purpose is to decrease visual stimulation and thus its inherent reinforcing value to the student.

CAUTION: Inservice training is required prior to implementing this behavioral intervention. Particular attention must be given so that the student's breathing is not impaired.

*****Possible Side Effects*****

Visual Screen

Blockage or Breathing and Aggression-Breathing may be blocked if screen covers nose and student may be aggressive if attempt to remove the screen by the student are blocked.

Seclusionary Time Out: A procedure by which access to the source of reinforcement is removed by placing the student in supervised setting, for a specified period of time, in a well lighted room, especially chosen for its low reinforcing value. If the student's misbehavior continues at the end of the prescribed time, the time may be extended until the student complies, but for no longer than 55 minutes. Time out periods which exceed 55 minutes are considered emergency interventions (see "Process for Implementation of Emergency Procedures, Section IV.)

a. A general guideline is to place the student in a time out room for one minute per year of age. In many instances, a shorter period of time may be effective.

b. A "time out log" must be kept to document 1) the inappropriate behavior 2) time in and out 3) date and 4 person responsible for the time out.

c. A student placed in a time out room ***is frequently observed*** by a staff member during the period of time out.

d. Rooms used as time out rooms are well lit, clean, ventilated and the temperature within them is maintained within a normal comfort range.

Example:

John physically attacks another student. The teacher says "The rule in our classroom is that there is no hitting. You have to go to time out for five minutes. You may come out when the timer goes off if you are quiet."

The teacher then escorts John into the time out room, a well-lighted , but boring room with an observation device. When the timer goes off, John has been quiet and is released.

CAUTION: ***This procedure requires extensive staff training. A training module is available from the Utah State Office of Education, Special Education Section.***

Since this procedure has received a great deal of media attention, parent education and consent are extremely important.

*****Possible Side Effects*****

Seclusion Time Out

Aggression or Injury-Student may become aggressive or injure himself/ herself or school personnel when being taken to a Time Out Room or remain in the room.

Inhibiting Devices: Devices that don't restrain, but inhibit, such as using a baseball cap to inhibit head scratching. These devices must never be used as an alternative to programming.

*****Possible Side Effects*****

Inhibiting Devices

Possible Skin Irritation

Level IV: Highly Intrusive Contingent Procedures

Level IV: Highly Intrusive Contingent Procedures

	Intervention Consent Form Signed	State & Local Human Rights Audits
Contingent Intrusive Substances & Stimuli	Yes	Yes
a. Taste (*caution*)	Yes	Yes
b. Aromatics (*caution*)		
c. Water Mist	Yes	Yes
Enforced Relaxation (*caution*)	Yes	Yes
Manual Restraint (*caution*)	Yes	Yes
Mechanical Restraint (*caution*)	Yes	Yes
Mechanical Harness (for bus)	Yes	Yes
Movement Suppression/Recreating the Scene	Yes	Yes

***GENERAL CAUTION:** Use of any Level III or IV intervention may result in withdrawal, aggression, crying, whining or pouting. If the staff member implementing the procedure does not provide a high density of reinforcement throughout the day.*

Any Level III or IV procedure may be construed as abusive by an uninformed observer.

DEFINITIONS OF LEVEL IV INTERVENTIONS

Contingent Intrusive Substance and Stimuli: Procedures whereby a behavior reduced by the presentation of intrusive consequence immediately following the emission of an undesired behavior. These procedures are most often used with aggressive or injurious behaviors to self or others.

a. **Taste Aversion:** The use of a substance with an unpleasant taste immediately following an undesired behavior. The most commonly used substances are; mouthwash, vinegar, lemon juice and water.

Example:

Mary has a habit of regurgitating food and is losing more and more weight. No medical cause for her problem had been found. The IEP Team, in consultation with Mary's physician, decided that a mixture of lemon juice and water would be used contingently each time Mary brought up food. The mixture was sprayed into Mary's mouth each time she began to gag. The regurgitation behavior gradually disappeared.

CAUTION: Behavior which necessitates the frequent use of an intervention may not be appropriate for taste treatment due to the known and unknown side effects of continually ingesting these substances.

b. **Aromatics:** The use of an noxious odor held under student's nose immediately following an undesired behavior. An example of aromatics is crushed garlic.

Example:

Bob had been pulling his hair from his head. The problem was escalating to the point that Bob had numerous bald spots on his head. Positive reinforcement and then an over-correction procedure had been tried unsuccessfully. Following a consultation with the IEP Team and his family physician, a container of crushed garlic was placed under Bob's nose each time he pulled his hair. Bob's hair pulling decreased rapidly.

CAUTION: Behavior which necessitates the frequent use of aromatics may not be appropriate due to the unknown side effects of continually breathing them.

*****Possible Side Effects*****

Contingent Aversive Substances

Multiple side effects- Aggression, erosion of enamel on teeth (e.g., vinegar, lemon juice, weak citric acid), Burns (e.g., pepper water, aromatic ammonia), toxic reaction and respiratory problems to some substances.

c. Water Mist: The use of a spray of water mist to the student's face to terminate an undesired behavior. This is delivered by means of a spray bottle. This effectiveness of this procedure is the produced shock to the student without physical harm. *This procedure is not appropriate for consequating minor behavior problems such as talk-outs, nonattending, etc.*

Example:

A student who exhibits a dangerous self-injurious behavior such as self-biting, to the point that she is bloodying herself, might be consequated with a brief spray mist immediately following the behavior.

CAUTION: The spray bottle must be on light mist---never full stream. The water must be room temperature---never extreme hot or cold.

*****Possible Side Effects*****

Water Mist

Dry Skin

Enforced Relaxation: A type of manual restraint that also teaches the student to relax. This restraint is used to restrain a student through physical means until he/she can control his/her own behavior. Special training must occur to prevent pain or injury to the client. When the individual is placed in enforced relaxation, the individual's record documents the following:

a. The duration of restraint.

b. The justification for the application of restraint.

CAUTION: Enforced relaxation consists of standardized holds in order to prevent injury to student. Inservice must be provided before implementation.

*****Possible Side Effects*****

Enforced Relaxation

See Manual Restraint

Manual Restraint: The use of the minimum amount of force necessary to hold or restrain a recipient. The restraint must continue only as long as the client presents a danger to himself, others, or to property. Manual restraint must be used only after less intensive methods have been unsuccessfully attempted.

CAUTION: This interventions must only be used if the staff is trained in appropriate restraint procedures to prevent injury to the student and staff.

Possible Side Effects

Manual Restraint

Physical Limb Injury, Asphyxiation, Possible Death, Internal Injuries, Aspiration, Skeletal Injuries - This procedure can be particularly dangerous if the student fights or struggles and physical contact between school personnel and the student is extent or frequent.

Mechanical Restraint: Mechanical restraints, other than those prescribed by a physician, therapist, or used as safety procedures for transportation, may only be used when necessary to keep a student from injuring him/herself or others. They may not be used in lieu of programming to eliminate the self-injurious behavior. Restraint must be regularly checked to ensure adequate circulation, and the student must have frequent opportunity (every hour) for exiting the restraints to see if the self-injurious behavior continues.

Example:

Ginger is a dangerous student who frequently attacks the bus driver and other students on bus rides to and from school. She has almost caused several heinous accidents. On one occasion she kicked out the bus window, cutting herself on the glass.

Level I, II and III procedures have been implemented with no success. A harness restraint has been selected by the IEP Team as the next intervention.

CAUTION: ***The difference between an inhibiting device and mechanical restraint is that an inhibiting device may be freely removed by the student at any time (a mechanical device cannot).***

Possible Side Effects

Mechanical Restraint

Possible Skin Irritation, Secondary Reinforcing Qualities-Restraints used for self injurious behavior that is escape motivated can become reinforcing.

CAUTION: ***This is a procedure that requires inservice training before implementation. Particular attention must be given to teach appropriate alternative behaviors and to fade out the use of the mechanical restraint.***

Movement Suppression/Recreating the Scene: This procedure involves requiring a student to face the wall for 3 to 4 minutes with their hands by their sides. A staff member remains behind the student and loudly reprimands and prompts the student if they try to leave.

Recreating the scene uses movement suppression in a repeated sequence (generally three times) for a misbehavior. The student is prompted through the misbehavior and movement suppression is applied---this sequence is repeated three times. This procedure is particularly effective

when significant time delays occur between occurrence of misbehavior and initiation of recreating the scene procedure.

Example:

Jim is a biter. He has bitten Tim but an hour has passed before the bite was discovered. Jim was manually guided near Tim and the biting behavior is re-enacted (Jim does not actually bite Tim.) Jim is loudly reprimanded by the staff and then required to stand against the wall for 3 minutes. This sequence is repeated three times. It is extremely important to get permission from all appropriate parties before the procedure is started.

CAUTION: ***This is a severe procedure that requires substantial training before the procedure is utilized.***

****Possible Side Effects*****

Movement Suppression/Recreating the Scene

Aggression and Student Resistance or Struggling when forced to stand or move through the procedure.

EXTRAORDINARY PROCEDURES

No clinically reasonable, scientifically validated procedure is excluded from use. However, extraordinary procedures must be selected and supervised with the utmost care with trained staff and fully informed parents or guardians who consent to the procedure. Consent may be withdrawn at any time. If extraordinary procedures are needed, they must be considered only by:

Step 1: The school district's qualified personnel who then documents the scientific validity of the procedure, documents the need in each particular case with objective data, documents the training of staff who will use the procedure, and receives written informed consent from the parent or guardian. Documentation and the program must be in a written format in addition to the IEP.

Step 2: The school district refers the request to use the procedure with documentation to the State Professional Peer Review Committee which then considers the request. Suggestions, program modifications, or a request for a consultation from an expert familiar with the procedure may be made by the Committee. The Committee will require medical consultation when appropriate. The procedure **cannot** be used by the school district until the Professional Peer Review Committee grants permission.

Step 3: The school district reviews the progress of the case with the State Professional Peer Review Committee no later then two weeks after the implementation of the procedure and periodically thereafter (interval to be set by Professional Peer Review Committee).

Scott W. Bean
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